

10-15-01

A

10/12/01

10/12/01 U.S. PTO

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE


Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))</small>	Attorney Docket No.	ARC 3043 R1
	First Inventor or Application Identifier	Joseph C. Trautman
	Title	See 1 in Addendum
	Express Mail Label No.	EL523934999US

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small>	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original and a duplicate for fee processing)</small>	5. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification [Total Pages 29] <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none">- Descriptive title of the Invention- Cross References to Related Applications- Statement Regarding Fed sponsored R & D- Reference to Microfiche Appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure	6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none">a. <input type="checkbox"/> Computer Readable Copyb. <input type="checkbox"/> Paper Copy (identical to computer copy)c. <input type="checkbox"/> Statement verifying identity of above copies
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 7]	ACCOMPANYING APPLICATION PARTS 7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 8. <input checked="" type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee) <input checked="" type="checkbox"/> Power of Attorney 9. <input type="checkbox"/> English Translation Document (if applicable) 10. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 11. <input type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 13. <input type="checkbox"/> * Small Entity Statement(s) filed in prior application (PTO/SB/09-12) <input type="checkbox"/> Status still proper and desired 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 15. <input checked="" type="checkbox"/> Other: Express Mail Certificate
4. Oath or Declaration [Total Pages 4] <ul style="list-style-type: none">a. <input checked="" type="checkbox"/> Newly executed (original or copy)b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 16 completed)<ul style="list-style-type: none">i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).	
* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).	

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____ / _____
Prior application information: Examiner _____ Group / Art Unit: _____
For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label  or ☐ Correspondence address below
(Insert Customer No. or Attach bar code label here)

Name	PATENT TRADEMARK OFFICE				
Address					
City	State	Zip Code			
Country	Telephone	Fax			

Name (Print/Type)	Owen J. Bates	Registration No. (Attorney/Agent)	40.346
Signature	Owen J. Bates	Date	12 Oct 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Attachment to PTO/SB/05 (4/98) Utility Patent Application
Transmittal

1. APPARATUS AND METHOD FOR PIERCING SKIN WITH MICROPROTRUSIONS

09:57:00 101301

<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2000</h2> <p style="font-size: small; margin: 5px 0;">Patent fees are subject to annual revision. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.</p>	<p style="text-align: center; font-weight: bold; margin: 0;">Complete if Known</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td></td> </tr> <tr> <td>Filing Date</td> <td>October 12, 2001</td> </tr> <tr> <td>First Named Inventor</td> <td>Joseph C. Trautman</td> </tr> <tr> <td>Examiner Name</td> <td></td> </tr> <tr> <td>Group / Art Unit</td> <td></td> </tr> <tr> <td>Attorney Docket No.</td> <td>ARC 3043 R1</td> </tr> </table>	Application Number		Filing Date	October 12, 2001	First Named Inventor	Joseph C. Trautman	Examiner Name		Group / Art Unit		Attorney Docket No.	ARC 3043 R1
Application Number													
Filing Date	October 12, 2001												
First Named Inventor	Joseph C. Trautman												
Examiner Name													
Group / Art Unit													
Attorney Docket No.	ARC 3043 R1												
<p>TOTAL AMOUNT OF PAYMENT (\$)4,106.00</p>													

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																								
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: 01-1173</p> <p>Deposit Account Name: ALZA Corporation</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p>2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>	<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td>0.00</td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td>0.00</td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td>0.00</td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for reexamination</td><td>0.00</td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td>0.00</td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td>0.00</td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td>0.00</td></tr> <tr><td>116 380</td><td>216 190</td><td>Extension for reply within second month</td><td>0.00</td></tr> <tr><td>117 870</td><td>217 435</td><td>Extension for reply within third month</td><td>0.00</td></tr> <tr><td>118 1,360</td><td>218 680</td><td>Extension for reply within fourth month</td><td>0.00</td></tr> <tr><td>128 1,850</td><td>228 925</td><td>Extension for reply within fifth month</td><td>0.00</td></tr> <tr><td>119 300</td><td>219 150</td><td>Notice of Appeal</td><td>0.00</td></tr> <tr><td>120 300</td><td>220 150</td><td>Filing a brief in support of an appeal</td><td>0.00</td></tr> <tr><td>121 260</td><td>221 130</td><td>Request for oral hearing</td><td>0.00</td></tr> <tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td>0.00</td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive - unavoidable</td><td>0.00</td></tr> <tr><td>141 1,210</td><td>241 605</td><td>Petition to revive - unintentional</td><td>0.00</td></tr> <tr><td>142 1,210</td><td>242 605</td><td>Utility issue fee (or reissue)</td><td>0.00</td></tr> <tr><td>143 430</td><td>243 215</td><td>Design issue fee</td><td>0.00</td></tr> <tr><td>144 580</td><td>244 290</td><td>Plant issue fee</td><td>0.00</td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td>0.00</td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisional applications</td><td>0.00</td></tr> <tr><td>126 240</td><td>126 240</td><td>Submission of Information Disclosure Stmt</td><td>0.00</td></tr> <tr><td>581 40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td><td>0.00</td></tr> <tr><td>146 690</td><td>246 345</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td>0.00</td></tr> <tr><td>149 690</td><td>249 345</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td>0.00</td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td>0.00</td></tr> <tr><td colspan="3">Other fee (specify) _____</td><td>0.00</td></tr> <tr> <td colspan="2" style="text-align: right;">Subtotal (3)</td> <td colspan="2" style="text-align: right;">(\$)0.00</td> </tr> </tbody> </table> <p>* Reduced by Basic Filing Fee Paid</p>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath	0.00	127 50	227 25	Surcharge - late provisional filing fee or cover sheet	0.00	139 130	139 130	Non-English specification	0.00	147 2,520	147 2,520	For filing a request for reexamination	0.00	112 920*	112 920*	Requesting publication of SIR prior to Examiner action	0.00	113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	0.00	115 110	215 55	Extension for reply within first month	0.00	116 380	216 190	Extension for reply within second month	0.00	117 870	217 435	Extension for reply within third month	0.00	118 1,360	218 680	Extension for reply within fourth month	0.00	128 1,850	228 925	Extension for reply within fifth month	0.00	119 300	219 150	Notice of Appeal	0.00	120 300	220 150	Filing a brief in support of an appeal	0.00	121 260	221 130	Request for oral hearing	0.00	138 1,510	138 1,510	Petition to institute a public use proceeding	0.00	140 110	240 55	Petition to revive - unavoidable	0.00	141 1,210	241 605	Petition to revive - unintentional	0.00	142 1,210	242 605	Utility issue fee (or reissue)	0.00	143 430	243 215	Design issue fee	0.00	144 580	244 290	Plant issue fee	0.00	122 130	122 130	Petitions to the Commissioner	0.00	123 50	123 50	Petitions related to provisional applications	0.00	126 240	126 240	Submission of Information Disclosure Stmt	0.00	581 40	581 40	Recording each patent assignment per property (times number of properties)	0.00	146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	0.00	149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	0.00	Other fee (specify) _____			0.00	Other fee (specify) _____			0.00	Subtotal (3)		(\$) 0.00	
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																						
105 130	205 65	Surcharge - late filing fee or oath	0.00																																																																																																																						
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	0.00																																																																																																																						
139 130	139 130	Non-English specification	0.00																																																																																																																						
147 2,520	147 2,520	For filing a request for reexamination	0.00																																																																																																																						
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	0.00																																																																																																																						
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	0.00																																																																																																																						
115 110	215 55	Extension for reply within first month	0.00																																																																																																																						
116 380	216 190	Extension for reply within second month	0.00																																																																																																																						
117 870	217 435	Extension for reply within third month	0.00																																																																																																																						
118 1,360	218 680	Extension for reply within fourth month	0.00																																																																																																																						
128 1,850	228 925	Extension for reply within fifth month	0.00																																																																																																																						
119 300	219 150	Notice of Appeal	0.00																																																																																																																						
120 300	220 150	Filing a brief in support of an appeal	0.00																																																																																																																						
121 260	221 130	Request for oral hearing	0.00																																																																																																																						
138 1,510	138 1,510	Petition to institute a public use proceeding	0.00																																																																																																																						
140 110	240 55	Petition to revive - unavoidable	0.00																																																																																																																						
141 1,210	241 605	Petition to revive - unintentional	0.00																																																																																																																						
142 1,210	242 605	Utility issue fee (or reissue)	0.00																																																																																																																						
143 430	243 215	Design issue fee	0.00																																																																																																																						
144 580	244 290	Plant issue fee	0.00																																																																																																																						
122 130	122 130	Petitions to the Commissioner	0.00																																																																																																																						
123 50	123 50	Petitions related to provisional applications	0.00																																																																																																																						
126 240	126 240	Submission of Information Disclosure Stmt	0.00																																																																																																																						
581 40	581 40	Recording each patent assignment per property (times number of properties)	0.00																																																																																																																						
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	0.00																																																																																																																						
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	0.00																																																																																																																						
Other fee (specify) _____			0.00																																																																																																																						
Other fee (specify) _____			0.00																																																																																																																						
Subtotal (3)		(\$) 0.00																																																																																																																							
<p style="text-align: center; font-weight: bold;">FEE CALCULATION</p> <p>1. BASIC FILING FEE</p> <table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101 690</td><td>201 345</td><td>Utility filing fee</td><td>740.00</td></tr> <tr><td>106 310</td><td>206 155</td><td>Design filing fee</td><td></td></tr> <tr><td>107 480</td><td>207 240</td><td>Plant filing fee</td><td></td></tr> <tr><td>108 690</td><td>208 345</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114 150</td><td>214 75</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="3" style="text-align: right;">Subtotal (1)</td> <td style="text-align: right;">(\$)740.00</td> </tr> </tbody> </table> <p>2. EXTRA CLAIM FEES</p> <table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103 18</td><td>203 9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102 78</td><td>202 39</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104 260</td><td>204 130</td><td>Multiple dependent claim, if not paid</td><td></td></tr> <tr><td>109 78</td><td>209 39</td><td>** Reissue independent claims over original patent</td><td></td></tr> <tr><td>110 18</td><td>210 9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr> <td colspan="3" style="text-align: right;">Subtotal (2)</td> <td style="text-align: right;">(\$)3,366.00</td> </tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101 690	201 345	Utility filing fee	740.00	106 310	206 155	Design filing fee		107 480	207 240	Plant filing fee		108 690	208 345	Reissue filing fee		114 150	214 75	Provisional filing fee		Subtotal (1)			(\$) 740.00	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	103 18	203 9	Claims in excess of 20		102 78	202 39	Independent claims in excess of 3		104 260	204 130	Multiple dependent claim, if not paid		109 78	209 39	** Reissue independent claims over original patent		110 18	210 9	** Reissue claims in excess of 20 and over original patent		Subtotal (2)			(\$) 3,366.00																																																																	
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																						
101 690	201 345	Utility filing fee	740.00																																																																																																																						
106 310	206 155	Design filing fee																																																																																																																							
107 480	207 240	Plant filing fee																																																																																																																							
108 690	208 345	Reissue filing fee																																																																																																																							
114 150	214 75	Provisional filing fee																																																																																																																							
Subtotal (1)			(\$) 740.00																																																																																																																						
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																						
103 18	203 9	Claims in excess of 20																																																																																																																							
102 78	202 39	Independent claims in excess of 3																																																																																																																							
104 260	204 130	Multiple dependent claim, if not paid																																																																																																																							
109 78	209 39	** Reissue independent claims over original patent																																																																																																																							
110 18	210 9	** Reissue claims in excess of 20 and over original patent																																																																																																																							
Subtotal (2)			(\$) 3,366.00																																																																																																																						

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Owen J. Bates	Registration No. (Attorney/Agent)	40,346
Signature	<i>Owen J. Bates</i>	Telephone	(650)-564-7867
		Date	12 Oct 2001

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: TRAUTMAN, JOSEPH C. and KEENAN, RICHARD L.

Application No.:

Group No.:

Filed: 10/12/2001

Examiner:

For: APPARATUS AND METHOD FOR PIERCING SKIN WITH MICROPROTRUSIONS

Assistant Commissioner for Patents

Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EL523934999US

Date of Deposit 10/12/2001

I hereby state that the following *attached* papers or fees

Utility Patent Application Transmittal

Fee Transmittal

Combined Declaration and Power of Attorney

Specification, Claims, Drawings, Abstract

Information Disclosure Statement, Transmittal, and Citations

Statement Under 37 CFR 3.73(b)

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. section 1.10, on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Elizabeth Grannell

Printed name of person signing below

Elizabeth Grannell

Signature of person mailing paper or fee